

**NOTICE OF ETHICS FILING REQUIREMENT**  
**2009 STATEMENT OF FINANCIAL INTERESTS**

**TO:** Employees/Board and Commission Members

**FROM:** City of Chicago Board of Ethics

**RE:** 2009 Statement of Financial Interests

**DATE:** February 27, 2009

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Please be advised that City law (Section 2-156-150(a)) of the Municipal Code of Chicago) requires you to **file the enclosed 2009 Statement of Financial Interests with the Board of Ethics before the close of business on Friday, May 1, 2009.**

Be further advised that:

- (1) if you file your Statement after the close of business on May 1, 2009, the Ordinance requires you to pay a \$20.00 filing fee; and
- (2) **failure to file your Statement before the close of business on Monday, June 1, 2009 constitutes a violation of City law that will subject you to disciplinary action, up to and including discharge from City service or removal from office;**
- (3) our office will not accept incomplete forms, faxed forms, or forms showing photocopied signatures—only forms with original signatures are acceptable; and
4. if you misplace your form, you can print another from the Board's website, at

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[http://egov.cityofchicago.org/webportal/COCWebPortal/COC\\_EDITORIAL/FIS-2009.pdf](http://egov.cityofchicago.org/webportal/COCWebPortal/COC_EDITORIAL/FIS-2009.pdf)

**Please see the reverse side for Instructions and Definitions.** If you have questions regarding this filing requirement or need assistance in completing the form, please call our staff at (312) 744-9660.

Note also that some of you are also receiving and must file a yellow "Statement of Economic Interests" with the Cook County Clerk's Office. If you do, please do not confuse that form with the one enclosed with this Notice. Remember to file the enclosed form with our office, and the yellow form with the County Clerk's Office.

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City of Chicago Board of Ethics  
2009 Statement of Financial Interests Instructions and Definitions

**A. Instructions.** The Governmental Ethics Ordinance requires "reporting individuals" to file a Statement of Financial Interests with the Board of Ethics. **"Reporting individuals" are:**

1. **City employees:**
  - (a) receiving compensation of \$76,450 or more in the year 2009 for their City service (not including overtime);
  - (b) holding a position that is budgeted for compensation at the rate of \$76,450 or more for the year 2009 (not including overtime);
  - (c) receiving a pay increase that puts their City compensation at an annual rate of \$76,450 or more for the year 2009; or
  - (d) whose present total income from the City (including salary, hourly wage, compensation for professional services, or independent contracts with the City, but not including overtime) is \$76,450 or more per year.

**City employees must file their Statements when they first become reporting individuals, and then by May 1 of each year in which they are "reporting individuals."**

2. **Appointed officials**, except members of City agencies that are solely advisory in nature and have no authority to make binding decisions. **Appointed officials subject to City Council approval who are required to file must file no later than the time their names are submitted to the Council for consideration, and annually thereafter by May 1. Appointed officials not subject to City Council approval must file at the time they take office, and annually thereafter by May 1.**

3. All **elected officials** of the City of Chicago (aldermen file with the City Clerk). **Elected officials must file before they take the oath of office, and annually thereafter by May 1.**

4. All **Candidates** to elected office of City government. **Candidates must file within five days after qualifying as a candidate.**

**B. Definitions.** The following terms on the Statement form are marked with an asterisk because they have specially defined meanings:

1. **Doing Business\*** means any one or any combination of sales, purchases, leases, or contracts to, from, or with the City or any City agency in an amount in excess of \$10,000 in any twelve consecutive months.

2. **Domestic Partner\*** means a "qualified domestic partner" as defined in section 2-152-072 of the Municipal Code of Chicago.

3. **Financial Interest\*** refers to any interest that:

- (a) entitles its owner to more than \$2,500 per year; or
- (b) has a cost or present value of \$5,000 or more; or
- (c) represents more than 10% of a corporation, partnership, sole proprietorship, firm, enterprise, franchise, organization, holding company, joint stock company, receivership, trust, or any legal entity organized for profit.

**Financial Interest** does **NOT** include:

- (a) any interest of the spouse or domestic partner\* of an official or employee if the interest is related to the spouse's or domestic partner's\* independent occupation, profession, or employment;
- (b) any ownership through purchase at fair market value or inheritance of less than 1% of the shares of a corporation, or any corporate subsidiary, parent or affiliate thereof, regardless of the value of the dividends on such shares, if the shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended;
- (c) the authorized compensation paid to an official or employee for his office or employment;
- (d) any economic benefit provided equally to all residents of the City;
- (e) a time or demand deposit in a financial institution; or
- (f) an endowment, insurance policy, or annuity contract purchased from an insurance company.

4. **Person\*** refers to any individual, entity, corporation, partnership, firm, association, union, trust, estate, as well as any parent or subsidiary of any of the foregoing, whether or not operated for profit.

5. **Professional Services\*** means services in any occupation requiring advanced or specialized education and training, including without limitation law, accounting, insurance, real estate, engineering, medicine, architecture, dentistry, banking, finance, public relations, education or consulting.

**C. Annual Filing Date Requirements.** A Statement must be filed when you first become a reporting individual, and then each year in which you are a reporting individual, as follows:

1. Reporting individuals must file their annual Statements by May 1. **There is a \$20.00 late fee for Statements filed after May 1.**

2. **Failure to file by May 31 constitutes a violation of City ordinance (§ 2-156-190(a)), which subjects the reporting individual to disciplinary action, including discharge.**

**D. Other Information.**

1. The information you provide in the Statement is subject to verification. If you give false or misleading information, you can be disciplined or discharged from your job or office.

2. By City and state law, Statements of Financial Interests are available for examination and duplication by anyone upon written request. Your address and social security and/or City payroll number will be deleted if your Statement is inspected or copied, and you will receive a copy of the request.

3. For answers to any questions you may have, call 312/744-9660. Send the completed, signed form to: **City of Chicago Board of Ethics, 740 North Sedgwick, Suite 500, Chicago, IL 60654.**

4. A receipt will be sent to each person who has filed a Statement.